

Element Performance Inspection (EPI) Data Collection Tool
1.3.11 Continuous Analysis and Surveillance System (CASS) (AW)
Revision#:2 Revision Date:09/15/2009

ELEMENT SUMMARY INFORMATION

Scope of Element:

Purpose (operator's responsibility): Establish and maintain a system for the Continuing Analysis and Surveillance (CASS) of the performance and effectiveness of its inspection program, the program covering other maintenance, preventive maintenance and alterations, and for the correction of any deficiency in those programs, regardless of whether those programs are carried out by the operator or by another person.

Objective (FAA oversight responsibility): To determine:

- The effectiveness of the operator's procedures in meeting the desired output of the process,
- If the operator follows its procedures, controls, process measurements, and interfaces, and
- If there were any changes in the personnel identified by the operator as having responsibility and/or authority, for CASS.

Specific Instructions:

Intentionally left blank

Related EPIs:

Intentionally left blank

SUPPLEMENTAL INFORMATION

Regulatory Requirements:

121.135, Manual contents
121.373, Continuing analysis and surveillance.

Related CFRs & FAA Policy/Guidance:

Related CFRs:

Intentionally left blank

FAA Policy/Guidance:

FAA Order 8900.1, Volume 3, Chapter 44, Section 1
AC 120-16E, Air Carrier Maintenance Programs
AC 120-59A, Air Carrier Internal Evaluation Programs
AC 120-72, Maintenance Resource Management Training
AC 120-79, Developing and Implementing a Continuous Analysis and Surveillance System

EPI SECTION 1 - PERFORMANCE OBSERVABLES

Objective:

The tasks and questions in this section of the EPI are designed to assist in determining if the operator follows its written procedures and controls and meets the established performance measures of the process. The initial series of questions address the output(s) of the process and the last several questions address whether or not various aspects of the process were followed.

Tasks

	The inspector shall accomplish the following tasks:
1	Review the information listed in the Supplemental Information Section of this DCT.
2	Review policies, procedures, instructions, and information for this element.
3	Review the most recently accomplished Safety Attribute Inspection (SAI) for this element.
4	Observe the performance of this element to gain an understanding of the procedures, instructions, and information.
5	Discuss this element with the personnel who perform the duties and responsibilities required by the process.

Questions

1.1	<p>Did the operator conduct the audits described in its Continuing Analysis and Surveillance System (CASS) to determine the <i>performance</i> of its inspection program and its program covering other maintenance, preventive maintenance, and alterations?</p> <p>Note(s): <i>Audits must also be conducted for programs that are carried out by any other maintenance provider.</i></p> <p>Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.2	<p>Did the operator collect the aircraft equipment performance and operational data described in its CASS to determine the <i>effectiveness</i> of its inspection program and its program covering other maintenance, preventive maintenance, and alterations?</p> <p>Note(s): <i>Data must also be collected for programs that are carried out by any other maintenance provider.</i></p> <p>Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.3	<p>Did the operator analyze all collected data to determine the <i>performance</i> and <i>effectiveness</i> of its programs, regardless of whether those programs were carried out by it or any other maintenance provider?</p> <p>Note(s): <i>Collected data includes audits, aircraft equipment performance, and operational</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

	<p><i>data and should be collected and analyzed as described in the operator's CASS.</i></p> <p>Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	
1.4	<p>Did the operator initiate the corrective action plans described in its CASS when the analysis revealed deficiencies in its programs?</p> <p>Note(s): <i>The timelines of plans should be based upon the severity of the deficiencies.</i></p> <p>Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.5	<p>Were CASS meetings and their associated processes effective in:</p> <ul style="list-style-type: none"> Identifying issues related to systems and human factors, Determining the root cause of deficiencies, Determining appropriate corrective actions? <p>Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.6	<p>Did the operator adequately conduct the follow-up processes described in its CASS to ensure the corrective actions were:</p> <ul style="list-style-type: none"> Appropriate, Timely, Effective? <p>Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.7	<p>Did the operator comply with the requirements in its CASS for responding to emergency/critical situations?</p> <p>Note(s): <i>Emergency/critical situations are non-routine events such as accidents, incidents, unscheduled landings due to mechanical issues, in-flight engine/propeller separations, hard landings, lightning strikes and rejected take-offs.</i></p> <p>Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.8	<p>Were the personnel who carry out the functions of the CASS properly trained?</p> <p>Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.9	<p>Did the operator follow policies, procedures, instructions, and information for this element?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

	Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	
1.10	Did the operator follow controls for this element? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.11	Did the records for this element comply with the instructions? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.12	Were the process measurements for this element: <ul style="list-style-type: none"> • Effective in identifying actual or potential problems, and • Did the operator identify and take corrective action for identified problems? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.13	Were the observed interfaces identified and documented by the operator? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.14	Were the observed interfaces identified and documented by the operator, adequate to ensure that the intended results were achieved? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

EPI SECTION 1 - PERFORMANCE OBSERVABLES Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Policies, procedures, instructions, or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective:

Answers to questions in this section address the responsibility and authority of the people who manage this process. They will help determine if there is a qualified and knowledgeable person who:

- Is responsible for the process
- Is answerable for the quality of the process
- Has the authority to establish and modify the process.

Note: The person with the authority may or may not be the person with the responsibility.

Tasks

	The inspector shall accomplish the following tasks:
1	Identify the person who has overall responsibility for the processes associated with this element.
2	Identify the person who has overall authority for the processes associated with this element.
	Note: If there have been no major changes in key personnel or the program since the last SAI or EPI was accomplished, then only answer questions 1 and 2 below, and select "No Change" (N/C) for the remaining questions. If changes have occurred that affect the responsibility or authority attributes for this element, then accomplish all tasks and answer all questions.
3	Review the duties and responsibilities for the person(s) who manage the processes associated with this element.
4	Review the appropriate organizational chart.
5	Discuss the processes associated with this element with the management personnel identified in tasks 1 and 2.
6	Review the qualifications and work experience of the management personnel identified in tasks 1 & 2.

Questions

2.1	Is the identified person who is responsible for the quality of the processes associated with this element actively filling that position? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.2	Is the identified person who has authority to establish and modify the operator's policies, procedures, instructions and information for the EPI processes associated with this element actively filling that position? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.3	Does the responsible person know that he/she has responsibility for the processes associated with this element? Updated: Rev # 2 on 09/15/2009	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

	Kind Of Question: Flag, Supplemental, Domestic	
2.4	Does the person with authority know that he/she has authority for the processes associated with this element? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.5	Does the person with responsibility for the processes associated with this element meet the qualification and work experience standards? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.6	Does the person with authority to establish and modify the processes associated with this element meet the qualification and work experience standards? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.7	Does the person with responsibility understand the controls, process measurements, and interfaces associated with this element? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.8	Does the person with authority understand the controls, process measurements, and interfaces associated with this element? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.9	Does the person with responsibility know who has authority to establish and modify the processes associated with this element? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.10	Does the person with authority know who has the responsibility for the processes associated with this element? Updated: Rev # 2 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand policies, procedures, instructions, or information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.

